

**FAX COVER SHEET**

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**TO:** Art Unit 3739

**COMPANY:** U.S. Patent and Trademark Office

**FAX:** (703) 308-0758 or 305-3590

**NUMBER OF PAGES (INCLUDING COVER SHEET):** 9

**FROM:** Jeff Lloyd 

**DATE:** March 15, 2002

**MESSAGE:** Re: Serial No. 10/001,560

**Attachments:**

- Transmittal
- Preliminary Amendment Under 37 CFR § 1.121
- Fee Transmittal in Duplicate
- Certificate of Facsimile Transmission

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**FAX RECEIVED**  
MAR 15 2002  
GROUP 3700

Patent Application  
Docket No. UF-168C2D1  
Serial No. 10/001,560

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : (not yet assigned)  
Art Unit : 3739  
Applicant(s) : Gravenstein *et al.*  
Serial No. : 10/001,560  
Filed : October 23, 2001  
For : IMAGING SCOPE

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL**

Sir:

Attached for filing in the above-identified matter are the following:

1. Preliminary Amendment Under 37 CFR § 1.121
2. Fee Transmittal in duplicate.
3. Certificate of Facsimile Transmission.

*The Commissioner is hereby authorized to charge any underpayment of fees associated with this communication or credit any overpayment to Deposit Account No. 19-0065.*

Respectfully submitted,

  
Jeff Lloyd, Reg. No. 35,589

Patent Attorney

Phone No.: (407) 426-7500

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**CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that this paper or fee is being facsimile transmitted on March 15, 2002.

By:   
Donna J. Bardemer

Date: March 15, 2002

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

42.00

## Complete if Known

Application Number	10/001,560
Filing Date	10/23/2001
First Named Inventor	Gravenstein et al.
Examiner Name	
Group Art Unit	3739
Attorney Docket No.	UF-168C2D1

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number 19-0065
- Deposit Account Name Saliwanchik, Lloyd & Saliwanchik
- ☐ Change Any Additional Fee Required Under 37 CFR 1.10 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☒ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 540	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
15	-20** =	0.00	
4	-3** =	42.00	
		0.00	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) <u>Preliminary Amendment</u>			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3) (\$)			42.00

## SUBMITTED BY

Name (Print/Type)	Jeff Lloyd	Registration No. (Attorney/Agent)	35,589	Telephone	(407) 426-7500
Signature		Date	03/15/2002		

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h. f. f. f.  
8-17-02  
#5/Prep  
Amend-A

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and Trademark Office on the date shown below.

## PRELIMINARY AMENDMENT

Patent Application

Docket No. UF-168C2D1

Serial No. 10/001,560

15 MARCH 2002Jeff Lloyd, Patent Attorney

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : Not yet assigned  
Art Unit : 3739  
Applicant : Gravenstein *et al.*  
Serial No. : 10/001,560  
Confirm. No. : 5627  
Filed : October 23, 2001  
For : IMAGING SCOPE

Assistant Commissioner for Patents  
Washington, D.C. 20231

PRELIMINARY AMENDMENT UNDER 37 CFR §1.121

Sir:

Please amend the application identified above as follows:

In the Claims

Please add the following new claims:

2. An imaging stylet according to claim 1, wherein said sheath is adapted to isolate the distal end of said image guide from the inside of a body, and wherein said sheath comprises a transparent end portion at its distal end through which an image from the inside of a body can be received by the distal end of said image guide.